



# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

of

11

## Complete if Known

|                        |               |
|------------------------|---------------|
| Application Number     | 10/622,404    |
| Filing Date            | July 18, 2003 |
| First Named Inventor   | Nguyen et al. |
| Art Unit               | 2195          |
| Examiner Name          | Vo, Lilian    |
| Attorney Docket Number | AESN3011      |

## U. S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
|                    |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
| LV                 |                       | US- 6038668                              | 03-2000                        | Chipman et al.                                     |   |
|                    |                       | US- 6529950                              | 03-2003                        | Lumelsky et al.                                    |   |
|                    |                       | US- 6199077                              | 03-2001                        | Inalla et al.                                      |   |
|                    |                       | US- 6594763                              | 07-2003                        | Madoukh  |   |
|                    |                       | US- 6330677                              | 12-2001                        | Madoukh  |   |
|                    |                       | US- 6477644                              | 11-2002                        | Turunen  |   |
|                    |                       | US- 6542992                              | 04-2003                        | Peirce et al.                                      |   |
|                    |                       | US- 6560217                              | 05-2003                        | Peirce et al.                                      |   |
|                    |                       | US- 6845395                              | 01-2005                        | Blumenau et al.                                    |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |
|                    |                       | US-                                      |                                |  |   |

## FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages Or Relevant Figures Appear | T <sup>6</sup> |
|--------------------|-----------------------|---|--------------------------------|--|--|----------------|
|                    |                       | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |  |  |                |
|                    |                       |   |                                |  |  |                |
|                    |                       |   |                                |  |  |                |
|                    |                       |   |                                |  |  |                |
|                    |                       |   |                                |  |  |                |
|                    |                       |   |                                |  |  |                |
|                    |                       |   |                                |  |  |                |
|                    |                       |   |                                |  |  |                |
|                    |                       |   |                                |  |  |                |
|                    |                       |   |                                |  |  |                |

Examiner  
Signature

Lilian Vo

Date  
Considered

4/27/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**Complete if Known**

*(Use as many sheets as necessary)*

Sheet

04



1

|                        |               |
|------------------------|---------------|
| Application Number     | 10/622,404    |
| Filing Date            | July 18, 2003 |
| First Named Inventor   | Nguyen et al  |
| Art Unit               | 2195          |
| Examiner Name          | Vo, Lilian    |
| Attorney Docket Number | AESN3011      |

[illegible][illegible]

Examiner  
Signature

Date Considered

4/27/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

**If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.**

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

**Complete if Known**

|                        |               |
|------------------------|---------------|
| Application Number     | 10/622,404    |
| Filing Date            | July 18, 2003 |
| First Named Inventor   | Nguyen et al. |
| Art Unit               | 2195          |
| Examiner Name          | Vo, Lillian   |
| Attorney Docket Number | AESN3011      |

|       |   |    |    |
|-------|---|----|----|
| Sheet | 3 | of | 11 |
|-------|---|----|----|

## U. S. PATENT DOCUMENTS

[illegible]

**FOREIGN PATENT DOCUMENTS**

[illegible]

|                       |                 |                    |         |
|-----------------------|-----------------|--------------------|---------|
| Examiner<br>Signature | <i>J. H. V.</i> | Date<br>Considered | 4/27/06 |
|-----------------------|-----------------|--------------------|---------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

*If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.*

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 4 of 11**Complete if Known**

|                        |               |
|------------------------|---------------|
| Application Number     | 10/622,404    |
| Filing Date            | July 18, 2003 |
| First Named Inventor   | Nguyen et al. |
| Art Unit               | 2195          |
| Examiner Name          | Vo, Lilian    |
| Attorney Docket Number | AESN3011      |

**U. S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|--------------------|-----------------------|--|--------------------------------|--|---|
|                    |                       | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
| LV                 |                       | US- 5,822,531                            | 10-13-1998                     | Gorczyca et al.                                    |   |
|                    |                       | US- 6,006,259                            | 12-21-1999                     | Adelman et al.                                     |   |
|                    |                       | US- 6,470,389                            | 10-22-2002                     | Chung et al.                                       |   |
|                    |                       | US- 6,493,318                            | 12-10-2002                     | Bare   |   |
|                    |                       | US- 6,493,341                            | 12-10-2002                     | Datta et al.                                       |   |
|                    |                       | US- 5,655,120                            | 08-05-1997                     | Witte et al.                                       |   |
|                    |                       | US- 5,819,045                            | 10-06-1998                     | Raman et al.                                       |   |
|                    |                       | US- 5,539,883                            | 07-23-1996                     | Allon et al.                                       |   |
|                    |                       | US- 5,862,348                            | 01-19-1999                     | Pedersen   |   |
|                    |                       | US- 5,774,668                            | 06-30-1998                     | Choquier et al.                                    |   |
|                    |                       | US- 6,078,960                            | 06-20-2000                     | Ballard  |   |
|                    |                       | US- 6,480,861                            | 11-12-2002                     | Kanevsky et al.                                    |   |
|                    |                       | US- 6,487,605                            | 11-26-2002                     | Leung  |   |
|                    |                       | US- 6,327,622                            | 12-04-2001                     | Jindal et al.                                      |   |
|                    |                       | US- 6,438,652                            | 08-20-2002                     | Jordan et al.                                      |   |
|                    |                       | US- 6,424,621                            | 07-23-2002                     | Ramaswamy et al.                                   |   |
|                    |                       | US- 6,173,306                            | 01-09-2001                     | Raz et al.   |   |
|                    |                       | US- 6,272,522                            | 08-07-2001                     | Lin et al.   |   |
|                    |                       | US- 6,505,254                            | 01-07-2003                     | Johnson et al.                                     |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>6</sup> |
|--------------------|-----------------------|---|--------------------------------|--|---|----------------|
|                    |                       | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                |  |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |
|                    |                       |   |                                |  |   |                |

|                    |           |                 |         |
|--------------------|-----------|-----------------|---------|
| Examiner Signature | Lilian Vo | Date Considered | 4/27/06 |
|--------------------|-----------|-----------------|---------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|  |   |                          |               |                        |          |
|--|---|--------------------------|---------------|------------------------|----------|
| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |   | <b>Complete if Known</b> |               |                        |          |
|  |   | Application Number       | 10/622,404    |                        |          |
|  |   | Filing Date              | July 18, 2003 |                        |          |
|  |   | First Named Inventor     | Nguyen et al. |                        |          |
|  |   | Art Unit                 | 2195          |                        |          |
|  |   | Examiner Name            | Vo, Lilian    |                        |          |
| Sheet  | 5 | of                       | 11            | Attorney Docket Number | AESN3011 |

| NON PATENT LITERATURE DOCUMENTS |                       |   |                |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
| LV                              |                       | YOSHIDA et al., Virtualization — The Promise and the Reality, Sun Microsystems White Paper, 2001  |                |
| LV                              |                       | Real-Time Mechanism for Accounting and Network Access Control, IBM Technical Disclosure Bulletin, April 1994, US, Vol 37, Issue 4A, pg 337-340, April 1, 1994   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |

|                    |           |                 |         |
|--------------------|-----------|-----------------|---------|
| Examiner Signature | Lilian Vo | Date Considered | 4/27/06 |
|--------------------|-----------|-----------------|---------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|  |            |                          |               |                        |          |
|--|------------|--------------------------|---------------|------------------------|----------|
| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(Use as many sheets as necessary)</i> |            | <b>Complete if Known</b> |               |                        |          |
|  |            | Application Number       | 10/622,404    |                        |          |
|  |            | Filing Date              | July 18, 2003 |                        |          |
|  |            | First Named Inventor     | Nguyen et al. |                        |          |
|  |            | Art Unit                 | 2195          |                        |          |
| Examiner Name  | Vo, Lilian |                          |               |                        |          |
| Sheet  | 6          | of                       | 11            | Attorney Docket Number | AESN3011 |

| NON PATENT LITERATURE DOCUMENTS |                       |   |                |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
| LV                              |                       | SUN MICROSYSTEMS, Network-Attached Storage, Storage White Paper, <a href="http://www.sun.com/storage/whitepapers.nas.html">www.sun.com/storage/whitepapers.nas.html</a> (undated).  |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |

|                    |           |                 |         |
|--------------------|-----------|-----------------|---------|
| Examiner Signature | Lilian Vo | Date Considered | 4/27/06 |
|--------------------|-----------|-----------------|---------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

|                        |               |
|------------------------|---------------|
| Application Number     | 10/622,404    |
| Filing Date            | July 18, 2003 |
| First Named Inventor   | Nguyen et al. |
| Art Unit               | 2195          |
| Examiner Name          | Vo, Lilian    |
| Attorney Docket Number | AESN3011      |

Sheet

of

11

**U. S. PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
| LV                    |                          | US- 6,185,681                            | 02-2001                        | Zizzi, Stephen                                     |   |
|                       |                          | US- 5,584,023                            | 12-1996                        | Hsu, Mike  |   |
|                       |                          | US- 5,596,718                            | 01-1997                        | Boebert et al.                                     |   |
|                       |                          | US- 5,850,446                            | 12-1998                        | Berger et al.                                      |   |
|                       |                          | US- 6,286,104                            | 09-2001                        | Buhle et al.                                       |   |
|                       |                          | US- 6,377,577                            | 04-2002                        | Bechtolsheim et al.                                |   |
|                       |                          | US- 6,378,072                            | 04-2002                        | Collins et al.                                     |   |
|                       |                          | US- 6,249,866                            | 06-2001                        | Brundrett et al.                                   |   |
|                       |                          | US- 6,647,400                            | 11-2003                        | Moran, Douglas                                     |   |
|                       |                          | US- 6,665,666                            | 12-2003                        | Brown et al.                                       |   |
|                       |                          | US- 6,671,773                            | 12-2003                        | Kazar et al.                                       |   |
|                       |                          | US- 2002/0091734                         | 07-2002                        | Redlich et al.                                     |   |
|                       |                          | US- 2003/0046366                         | 03-2003                        | Pardikar et al.                                    |   |
|                       |                          | US- 2003/0056095                         | 03-2003                        | Elliott et al.                                     |   |
|                       |                          | US- 2003/0112977                         | 06-2003                        | Ray et al.   |   |
|                       |                          | US- 2003/0196114                         | 10-2003                        | Brew et al.  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>3</sup> |
|-----------------------|--------------------------|---|-----------------------------------|--|---|----------------|
|                       |                          | Country Code <sup>2</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                   |  |   |                |
| LV                    |                          | WO 9900958  | 01-1999                           | LEVERIDGE et al                                    |   |                |
| LV                    |                          | JP 08272667   | 10-1996                           | NAKAMURA, Y.                                       |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |

Examiner  
Signature

Lilian Vo

Date  
Considered

4/27/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

|   |            |                          |               |
|---|------------|--------------------------|---------------|
| Substitute for form 1449/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br>(Use as many sheets as necessary) |            | <b>Complete if Known</b> |               |
|   |            | Application Number       | 10/622,404    |
|   |            | Filing Date              | July 18, 2003 |
|   |            | First Named Inventor     | Nguyen et al. |
|   |            | Art Unit                 | 2195          |
| Examiner Name   | Vo, Lilian |                          |               |
| Attorney Docket Number  | AESN3011   |                          |               |
| Sheet   | 98         | of                       | 11            |

| NON PATENT LITERATURE DOCUMENTS |                       |   |                |
|---------------------------------|-----------------------|---|----------------|
| Examiner Initials*              | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
| LN                              |                       | BERTINO et al., Advanced Transaction Processing in Multilevel Secure File Stores, 1998 IEEE   |                |
|                                 |                       | CATTANEO et al., The Design and Implementation of Transparent Cryptographic Filesystems for UNIX, June 2001   |                |
|                                 |                       | LUDWIG et al., File System encryption with Integrated User Management, October 2001 ACM   |                |
| ✓                               |                       | O'CONNELL et al., JFS: A Secure Distributed File System for Network Computers, 1999   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |
|                                 |                       |   |                |

|                    |            |                 |         |
|--------------------|------------|-----------------|---------|
| Examiner Signature | Lilian Vo. | Date Considered | 4/27/06 |
|--------------------|------------|-----------------|---------|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**Complete if Known**

*(Use as many sheets as necessary)*

|       |   |    |    |
|-------|---|----|----|
| Sheet | 9 | of | 17 |
|-------|---|----|----|

|                        |               |
|------------------------|---------------|
| Application Number     | 10/622,404    |
| Filing Date            | July 18, 2003 |
| First Named Inventor   | Nguyen et al. |
| Art Unit               | 2195          |
| Examiner Name          | Vo, Lilian    |
| Attorney Docket Number | AESN3011      |

[illegible][illegible]

**Examiner  
Signature**

Likan Vo

Date Considered

4/27/50

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \*Applicant's unique citation designation number (optional). \*See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. \*Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \*For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \*Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. \*Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

***If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.***

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet

10

of

11

**Complete if Known**

|                        |               |
|------------------------|---------------|
| Application Number     | 10/622,404    |
| Filing Date            | July 18, 2003 |
| First Named Inventor   | Nguyen et al. |
| Art Unit               | 2195          |
| Examiner Name          | Vo, Lilian    |
| Attorney Docket Number | AESN3011      |

**U. S. PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
| L                     | ✓                        | US- 5495533                              | 02.27.1996                     | Linehan et al.                                     |   |
|                       |                          | US- 6292827                              | 09.18.2001                     | Raz  |   |
|                       |                          | US- 6304973                              | 10.16.2001                     | Williams   |   |
|                       |                          | US- 6389535                              | 05.14.2002                     | Thomlinson et al.                                  |   |
|                       |                          | US- 6405315                              | 06.11.2002                     | Burns et al.                                       |   |
|                       |                          | US- 6457130                              | 09.24.2002                     | Hitz et al.  |   |
|                       | ✓                        | US- 6564228                              | 05.13.2003                     | O'Connor   |   |
|                       |                          | US- 6697846                              | 02.24.2004                     | Soltis   |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>6</sup> |
|-----------------------|--------------------------|---|-----------------------------------|--|---|----------------|
|                       |                          | Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known) |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |

Examiner  
Signature

Lilian Vo

Date  
Considered

4/21/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

|                        |               |
|------------------------|---------------|
| Application Number     | 10/622,404    |
| Filing Date            | July 18, 2003 |
| First Named Inventor   | Nguyen et al. |
| Art Unit               | 2195          |
| Examiner Name          | Vo, Lilian    |
| Attorney Docket Number | AESN3011      |

Sheet 1 of 1**U. S. PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Document Number                          | Publication Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines, Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-----------------------|--------------------------|--|--------------------------------|--|---|
|                       |                          | Number-Kind Code <sup>2</sup> (if known) |                                |  |   |
| LV                    |                          | US- 5,150,407                            | 09-22-1992                     | Chan   |   |
|                       |                          | US- 4,588,991                            | 05-13-1986                     | Atalla   |   |
|                       |                          | US- 5,235,642                            | 08-10-1993                     | Wobber et al.                                      |   |
|                       |                          | US- 5,065,429                            | 11-12-1991                     | Lang   |   |
|                       |                          | US- 5,720,034                            | 02-17-1998                     | Case   |   |
|                       |                          | US- 6,185,684                            | 02-06-2001                     | Pravetz et al.                                     |   |
|                       |                          | US- 5,940,507                            | 08-17-1999                     | Cane et al.  |   |
|                       |                          | US- 6,175,924                            | 01-16-2001                     | Arnold   |   |
|                       |                          | US- 5,235,641                            | 08-10-1993                     | Nozawa et al.                                      |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |
|                       |                          | US-                                      |                                |  |   |

**FOREIGN PATENT DOCUMENTS**

| Examiner<br>Initials* | Cite<br>No. <sup>1</sup> | Foreign Patent Document   | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or<br>Applicant of Cited Document | Pages, Columns, Lines,<br>Where Relevant Passages<br>Or Relevant Figures Appear | T <sup>6</sup> |
|-----------------------|--------------------------|---|-----------------------------------|--|---|----------------|
|                       |                          | Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known) |                                   |  |   |                |
| LV                    |                          | WO 02/093389  | 11-21-2002                        | Avida  |   |                |
| LV                    |                          | WO 02/093314  | 11-21-2002                        | Avida  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |
|                       |                          |   |                                   |  |   |                |

Examiner  
Signature

Lilian Vo

Date  
Considered

4/27/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.